RETIRING RECORDS TO THE FEDERAL RECORDS CENTER (FRC) PROCEDURES IN REGION 10

Prepared By:			
	R10 Regional Records Program	**U.S.EPA Region 10**	**5/30/2014**
Reviewed By:			
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Approved By:			
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1. PURPOSE AND APPLICABILITY

This procedure identifies specific requirements, processes and supporting documents required for transferring inactive records from the Central Records Center (CRC) holdings to the Federal Records Center (FRC) for the remainder of their retention, in accordance with the National Records Management Program (NRMP) Records Schedules.

2. AUDIENCE

The audience for these procedures is the R10 Regional Records Program staff.

3. BACKGROUND

Every federal agency is required by regulation to manage records in accordance with Federal standards. The R10 Executive Team (ET) made a decision to have a consolidated records center, the Central Records Center (CRC), in Region 10. The CRC will provide orderly arrangement and secure control of records. The CRC will be managed by records management professionals. These procedures outline how the Regional Records staff will archive longer-term records as needed.

4. AUTHORITY

- 44 U.S.C. Chapter 33, Sec. 3301
- U.S. EPA – Records Management Policy (EPA 2161)
- Federal Records Act

5. DEFINITIONS

- Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value in them. (Taken from 44 U.S.C. Chapter 33, Sec. 3301)
- National Records Management Program (NRMP) provides leadership and direction in managing the records that support EPA's mission.
- Versatile Enterprise (VE) is the database software used to track active files in EPA offices, as well as retired records stored at the Federal Records Center (FRC) facility.
- ARCIS is the National Archives and Records Administration's (NARA) electronic

system, which is used to request boxes stored at the Federal Records Centers (FRC) and to prepare records transfers (SF 135s) to the FRC.

- The Federal Records Center (FRC) stores and provides access to inactive or permanent records pending their disposition, according to the approved record schedules.
- Accession numbers are FRC assigned transfer numbers for groups of boxes of the same records series and item, called accessions, which are retired by agencies to the Federal Records Center.
- Records Management Coordinators (RMC) are designated by their manager to be the records contact for their organizational unit.
- SF135 is the official form used to request permission from the FRC to transfer inactive records to their facility.

6. **PROCEDURES**

The steps required for archiving records located at the CRC to the FRC:

a. Identify records in a series that are inactive and can finish their retention, according to the EPA records schedules, at the Federal Records Center (FRC). Place them in a box for processing. These may be identified during the annual inventory or by the custodian programs at other times of the year.

b. Create the boxes in Versatile and scan the folder barcodes into the box using the Files tab of the Box Entry screen. Refer to Versatile Boxes Screen and VERSATILE BOXES for Retiring Records to the FRC documents.

c. Create an SF135 form for the collection.

d. Print the Box Contents List to PDF and email the list of identified files designated for the FRC to the Records Management Coordinator (RMC) and Unit Manager for review and approval. Cc the RLO and request a return reply within 2 weeks of the email notice.

e. Ask the Programs to verify the sensitivity of the documents and to notify us if any folders are subject to an existing FOIA, an ongoing Litigation Hold, or if there is another reason to retain the records at the CRC.

f. If they approve the retirement, ask them to review the SF135, submit any edits to the box contents list or SF135 form and email them to the R10 Regional Records Email box.

g. If the records are "Disposable," remove plastic, binder clips, rubber bands and other items that cannot be turned into pulp.

h. If the records are "Permanent," remove rubber bands and replace binders with expandable folders or separate by colored sheets of paper. Plastic comb binding can

remain.

i. If the long-term or Permanent collection contains mixed media, remove the electronic discs create a backup copy (ex. 205 (a3) version) on the G:Drive under the records series and accession number and return the disc to the box with finding aids to the folder on the G:Share Drive. Make a notation in Versatile at the folder and box level.

j. Enter the SF135 information into ARCIS (some of the fields will be pre-populated by the system according to user profile):

➢ Go to the Records Transfers Tab > Create > Create Records Transfers

➢ First Column:

- **Charge Account** : 129023RT

- **Security Classification**: Unclassified

- **Privacy Act** : check box if applicable

➢ Second Column:

- **Disposition**: Temporary, Permanent, Permanent – Contingent

- **Disposition Authority:** EPA/####+item or EPA/###+item

- **Disposition Date**: MM/DD/YYYY, closed date

- **Comments**: IMPORTANT! Add comments to indicate records contain CBI, PII information or enter 'freeze' code if applicable.

➢ Third Column:

- **Type of Records**: Usually "TEXTUAL"

- **Mixed Media**: Check box if collection contains mixed media

- **Container Type**: Usually "Standard"

- **Number of Containers**: Add # of boxes in accession

- **Inclusive Start Date**: MM/DD/YYYY

- **Inclusive End Date**: MM/DD/YYYY

- **Description of Records**: Need to be conservative about number of characters used in this field.

  - ^RT Title of Record Series,

  - EPA ####alpha,

  - Office and unit

  - Title of collection

- Versatile Box #s
- ➢ Fourth Column:
  - **Agency Contact Name**: Mike Wells (Note: by adding the last name, the first name will populate when you click outside of the box)
  - **Agency Approver**: Mike Wells
  - **Agency Official**: RMC's name goes here
  - **Address Line 2:** Add your Mail Stop to the end of this line
  - **Retiring Office same as Shipment From Office**: check this box
- ➢ **Save and Finish Later** button
- ➢ Replace the Place Holder Accession # in Versatile with the ARCIS assigned accession # for all the boxes and print the report to PDF with the title "412-2014-####, HK 205b Box Contents List, MM-DD-YY"
- ➢ **Return to Transfers I Have Created:** Select Transfer number to bring up the page
- ➢ **Attachments:** Add the PDF file you just created
  - **New**
  - **V arrow:** to select and browse file
  - **Browse:** select
  - **Add**
  - **Save**
  - **OK:** returns you to the previous screen
- ➢ **Continue:** and review (last chance to make edits)
- ➢ **Forward to Approver** and log out of ARCIS

k. Email the R10 RLO, Mike Wells, that there is an SF135 for his approval and in the body of the email, write the accession # and schedule # for reference.

l. Print a box contents list for each box in the accession and put the pages inside the box(es).

m. Number the box(es) with the FRC accession number and box number and tape all but Box 1

n. Log in to ARCIS the next day to check on the status of the SF135. If the Status is: **Review Requested**, Mike Wells is still reviewing, If the status is **Approved**, open the Records Transfer screen and under Reports dropdown menu, select **Records Transmittal and Receipt – SF 135** to print out the SF135 (3 copies: 1 for R10

Regional Records, 1 for the RMC and 1 for the front of the first box.)

o. Print three copies of the box contents report from Versatile to go with the approved SF135 form and deliver one copy to the RMC.

p. Put stapled SF135 and box contents list in the front of Box 1 and tape with clear or brown tape.

q. Stack the box in the CRC, email the Mail Room with the number of boxes to deliver to the FRC, CC the RLO and the R10 Regional Records staff.

r. The FRC will acknowledge receipt of the boxes and send a final SF135 for the record. Make a copy and distribute to the RMC.

7. RELATED DOCUMENTS

- Records Management Manual
- Versatile Boxes Screen
- Creating Boxes in Versatile
- ARCISWebinarHQ.pptx in NRMP Resources for RLOs

8. ROLES AND RESPONSIBILITIES

It is the responsibility of:

- R10 Regional Records staff to identify long-term inactive records at the CRC that can be sent to the FRC and to notify the Program of intended archiving.
- R10 Regional Records staff to enter the box(es) in Versatile and send it to the Programs for review.
- R10 Program staff to review the records for preservation requirements and sensitivity, and approve or disapprove the transfer.
- R10 Regional Records Staff to keep the record copy of the SF135 in the CRC.

9. WAIVERS

Does not apply.

10. RELATED POLICIES, STANDARDS AND GUIDANCE

- Records Management Manual
- Versatile Enterprise Manual
- NRMP Records Schedules
- ARCIS Handbook

11. MATERIAL SUPERSEDED

Not applicable.

12. ADDITIONAL INFORMATION

For questions about these procedures, please contact the R10 Records Liaison Officer, Mike Wells (206) 553-4252.